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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/862,688
	Filing Date	May 22, 2001
	First Named Inventor	D. Mauer et al.
	Art Unit	3726
	Examiner Name	E. Omgba
Total Number of Pages in This Submission	Attorney Docket Number	0275M-000260/DVB

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form 1449; 9 Foreign References; 1 US Reference; and Return Receipt Postcard
Remarks		The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 02-2550. A duplicate copy of this sheet is enclosed.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name Monte L. Falcoff	Reg. No. 37,617
Signature			
Date	June 11, 2007		

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Monte L. Falcoff	Express Mail Label No.	EV 755 416 687 US (6/11/2007)
Signature		Date	June 11, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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EV 755 416 687 US



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/862,688
Filing Date: May 22, 2001
Applicant: D. Mauer et al.
Group Art Unit: 3726
Examiner: E. Omgba
Title: RIVETING SYSTEM AND PROCESS FOR FORMING A
RIVETED JOINT
Attorney Docket: 0275M-000260/DVB

Director of the United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS, AND OTHER INFORMATION

The patents, publications and other information requested to be considered by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

II. COPIES

A. ☒ Submitted herewith is a legible copy of (i) each foreign patent; (ii) each publication or that portion which caused it to be listed, other than U.S. patents and U.S. patent application publications unless required by the Office; (iii) each unpublished U.S. application listed below in Section IV (i.e., including the specification, claims, and any drawing of the application, or that portion of the application which caused it to be listed, including any claims directed to that portion), except for such applications filed on or after June 30, 2003, pursuant to the Waiver of the Copy Requirement in 37 C.F.R. 1.98 (OG Notice dated October 19, 2004); and (iv) all other information or that portion which caused it to be listed.

B. ☐ Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

C. ☐ This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search report are listed on the attached Form 1449 for consideration by the Examiner and for listing on any patent resulting from this application. If the International Search report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application. (MPEP 1893.03(g).)

III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

A. ☒ Except as may be indicated below in (B), all of the patents, publications or other information are in the English language (concise explanation not required).

B. ☒ A concise explanation of the relevance of each patent, publication or other information listed that is not in the English language is as follows (see 37 C.F.R. § 1.98(a)(3)):

1. ☐ See the attached foreign patent office communication from a counterpart foreign application:

2. ☒ English translations are provided:

As noted on attached Form 1449.

3. ☒ Other:

FOREIGN PATENTS:

#1. Japanese Patent No. 58-131939 appears to show an apparatus for setting a rivet to sheet material.

#2. Japanese Patent No. 62-109838 appears to show a grommet setting tool.

#3. Japanese Patent No. 63-002534 appears to show a pressing and setting machine.

#4. Japanese Patent No. 64-40132, according to an English translation of the Abstract, shows the following:

PURPOSE: To remove noise in a working time and to obtain a miniaturized device by caulking a rivet by a linearly reciprocating stem through a worm wheel mechanism which is situated in an oil bath and lubricated amply. **CONSTITUTION:** A worm wheel mechanism 5 rotated by the rotation of a driving shaft 4a is situated in an oil bath fixed at a column 3. The driving force of the worm wheel mechanism 5 is transferred to a stem 18 through a connective rod 12, etc. A stem 18 and a chuck 22c conduct a linear motion to caulk a rivet held by the chuck 22. Noise occurring when the device operates is removed and the device is miniaturized by such a structure.

#5. Japanese Patent No. 4-169828, according to an English translation of the Abstract, shows the following:

PURPOSE: To make it possible to provide constant riveting force regardless of the length of a hose for connecting a pressure-oil supply source, which is different for each riveting machine, and the riveting machine by fixing a sensor which transmits an electric signal in proportion to the amount of strain to the yoke of the riveting machine. **CONSTITUTION:** A sensor 2 which converts the amount of mechanical strain into an electric signal in proportion to the amount of the strain and transmits the signal is fixed to a yoke 9 of a riveting machine 8. At the same time, a measuring device which measures the riveting force of the riveting machine 8 is mounted on the riveting machine 8. With the riveting pressure being measured with the measuring device, riveting is performed with the specified riveting pressure. Then, the magnitude of the signal outputted from the sensor 2 is stored in a memory device 4. The magnitude of the signal sent out of the sensor at the time of the riveting is compared with the magnitude of the stored signal in a judging device 2. When the magnitude from the sensor is larger than the

magnitude of the stored 4 signal, Ok is displayed. When the magnitude of the signal from the sensor 2 is smaller, NG is displayed. In this way, the riveting force can be made constant regardless of the length of a hose for connecting the supply source of pressure oil, which is different for every riveting machine, and the riveting machine.

#6. Japanese Patent No. 5-92300, according to an English translation of the Abstract, shows the following:

PURPOSE: To maintain and control the optimum pressing state by displaying data of a position and a load of a press jig and outputting the data to the outside. **CONSTITUTION:** Upper limit values H_1 , H_2 , lower limit values L_1 , L_2 of applied load increasing properties are set in advance in a pressing area, applied loads exceeding those limit values are stored in CRT/MDI unit and as occasion demands, an alarm is given. A jig is moved as far as a set position of the jig at a prescribed speed and when a detection value of the position arrives at the set position, reverse current is supplied to a driving motor to stop it suddenly. After it stops, a ball screw stops rotation for a dwell (stop) time, the pressing jig is made to return as far as the origin and variation of the position based on the spring back generated to a body to be pressed when the dwell time is not set as prevented.

#7. Japanese Patent No. 6-061344 appears to show a rivet setting machine.

#8. Japanese Patent No. 7-015135, according to an English translation of the Abstract, shows the following:

OBJECT: To provide a setting load measuring device having a strain-gauge type compression load transducer therein to be capable of being attached between a punch holder and a shaft portion at the lower end of a main rotating shaft in a rivet setting machine. **SOLUTION:** A strain gauge type compression load transducer 13 is located within a housing 11. The transducer 13

is assembled into a space between a lower end portion of a main shaft 3 and a second main shaft 9 which is inserted into the main shaft 3 by an intermediate thrust ball bearing 15. The second main shaft 9 is connected to the main shaft 3 by means of a key 8, a spring 18 and a bolt 19.

#9. Japanese Patent No. 08-261855, according to an English translation of the Abstract, shows the following:

PROBLEM TO BE SOLVED: To provide a piezoresistive pressure sensor which does not require any tap and is not affected by the mismatching of a mask. **SOLUTION:** A piezoresistive pressure sensor 30 is provided with four resistance diffusion regions 32 which are connected to a bridge structure 33 with four joint parts 36. Each of the diffusion region is provided with a first edge part connected to one of four junction parts and a second edge part which is connected to another one of four junction parts. Four contact diffusion terminals 34 are arranged in contact with a bridge structure. Each diffusion terminal 34 is arranged at one of four junction parts and the diffusion region is electrically connected only by the contact diffusion terminals essentially. Therefore, a tap for electrically connecting the contact diffusion terminals 34 to the resistance diffusion region of the bridge is unnecessary, thus enhancing sensor sensitivity.

C. ☐ The following additional information is provided for the Examiner's consideration.

IV. CROSS REFERENCE TO RELATED APPLICATION(S)

A. ☐ The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does (do) not waive the confidentiality provisions of 35 U.S.C. § 122.

<u>U.S. Serial No.</u>	<u>U.S. Filing Date</u>	<u>Art Unit</u>
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V. THIS IDS IS BEING FILED UNDER

A. ☐ **37 C.F.R. § 1.97(b):** (check only one box)

1. ☐ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.
2. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.
3. ☐ before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
4. ☐ before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No fee or certification is required.

B. ☐ **37 C.F.R. § 1.97(c):** (check only one box)

before the mailing date of either any Final Office Action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution.

1. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
2. ☐ See the certification below. No fee is required.

C. ☐ **37 C.F.R. § 1.97(d):**

after the mailing date of either a Final Office Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, yet on or before payment of the issue fee.

1. ☐ See the certification below. A fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e): (check only one box)

The undersigned hereby certifies that:

A. ☒ each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(1)). See further statement under 37 C.F.R. 1.704(d) below in section VII, if applicable; or

B. ☐ no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(2)).

C. ☐ some of the items of information were first cited in a communication from a foreign patent office. As to this information, the undersigned hereby certifies that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS.

VII. STATEMENT UNDER 37 C.F.R. 1.704(d)

The undersigned hereby states that:

☐ each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this IDS.

VIII. PAYMENT OF FEES (check only one box)

A. ☐ A check in the amount of \$180.00 is enclosed for the above identified fee.

B. ☐ Please charge Deposit Account No. 02-2550 in the amount of \$180.00 for the above-indicated fee. A duplicate copy of this paper is attached.

The above references are being cited only in the interest of candor and without any admission that they constitute statutory prior art, contain matter which anticipates the invention, or which would render the same obvious, either singly or in combination, to a person of ordinary skill in the art. Furthermore, this Information Disclosure Statement shall not be construed as a representation that a search has been made.

If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 02-2550.

Please charge any additional fees or credit any overpayment pursuant to 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 02-2550.

Respectfully submitted

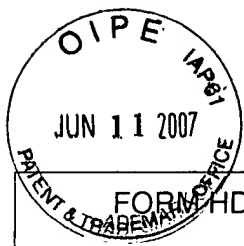
Dated: June 11, 2007

By: 

Monte L. Falcoff
Reg. No. 37,617

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MLF/pml



FORM HDP-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

Sheet 1 of 1

ATTORNEY DOCKET NO.

SERIAL NO.

0275M-000260/DVB

09/862,688

APPLICANT

D. Mauer et al.

FILING DATE

GROUP

May 22, 2001

3726

U.S. PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
1.		6,150,917	11/2000	Meyer et al.		

FOREIGN PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation Yes	No
1.		58-131939	09/1983	Japan		Claim 1	
2.		62-109838	07/1987	Japan		Claim 1	
3.		63-002534	01/1988	Japan		Claim 1	
4.		64-40132	02/1989	Japan		Abstract	
5.		4-169828	06/1992	Japan		Abstract	
6.		5-92300	04/1993	Japan		Abstract	
7.		6-061344	08/1994	Japan		Partial	
8.		7-015135	03/1995	Japan		Abstract	
9.		8-261855	10/1996	Japan		Abstract	

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Ref. Desig.	Examiner's Initials	
1.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.